

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No. MIT8178CONT	
	First Inventor HUNG	
	Title	Electrostatically-Controllable Diffraction Grating
	Express Mail Label No. ET773036827US	

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
3. <input checked="" type="checkbox"/> Specification [Total Pages 61] (preferred arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF)
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 36]	b. Specification Sequence Listing on: <ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input type="checkbox"/> paper
5. Oath or Declaration [Total Pages 6] <ul style="list-style-type: none">a. <input type="checkbox"/> Newly executed (original or copy)b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed)i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	c. <input type="checkbox"/> Statements verifying identity of above copies
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)	<input type="checkbox"/> Power of Attorney
11. <input type="checkbox"/> English Translation Document (if applicable)	
12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input checked="" type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
16. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input type="checkbox"/> Other:	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09, 537,936

Prior application information. Examiner: K. Addison Group Art Unit 2834

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or <input type="checkbox"/> Correspondence address below					
Name		Theresa A. Lober			
Address		T. A. Lober Patent Services 45 Walden Street			
City	Concord	State	MA	Zip Code	01742
Country	USA	Telephone	978-369-2181	Fax	978-369-7101

Name (Print/Type)	Theresa A. Lober	Registration No. (Attorney/Agent)	35,253
Signature		Date	12/10/2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 776.00

Complete if Known

Application Number
Filing Date 12/10/2001
First Named Inventor Hung
Examiner Name
Group Art Unit
Attorney Docket No. MIT8178CONT

12/10/01
10/015732
J0332 U.S. PTO

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.
- Deposit Account Number 19-2553
- Deposit Account Name Massachusetts Institute of Technology
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	740	370			Utility filing fee	740.00
106	206	330	165			Design filing fee	
107	207	510	255			Plant filing fee	
108	208	740	370			Reissue filing fee	
114	214	160	80			Provisional filing fee	

SUBTOTAL (1) (\$ 740.00

2. EXTRA CLAIM FEES

Total Claims 22 - 20** = 2 X Fee from below 18.00 = 36.00

Independent Claims 2 - 3** = 0 X Fee from below 84.00 = 0.00

Multiple Dependent

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	203	18	9			Claims in excess of 20
102	202	84	42			Independent claims in excess of 3
104	204	280	140			Multiple dependent claim, if not paid
109	209	84	42			** Reissue independent claims over original patent
110	210	18	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 36.00

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130	65			Surcharge - late filing fee or oath	
127	227	50	25			Surcharge - late provisional filing fee or cover sheet	
139	139	130	130			Non-English specification	
147	147	2,520	2,520			For filing a request for ex parte reexamination	
112	112	920*	920*			Requesting publication of SIR prior to Examiner action	
113	113	1,840*	1,840*			Requesting publication of SIR after Examiner action	
115	215	110	55			Extension for reply within first month	
116	216	400	200			Extension for reply within second month	
117	217	920	460			Extension for reply within third month	
118	218	1,440	720			Extension for reply within fourth month	
128	228	1,960	980			Extension for reply within fifth month	
119	219	320	160			Notice of Appeal	
120	220	320	160			Filing a brief in support of an appeal	
121	221	280	140			Request for oral hearing	
138	138	1,510	1,510			Petition to institute a public use proceeding	
140	240	110	55			Petition to revive - unavoidable	
141	241	1,280	640			Petition to revive - unintentional	
142	242	1,280	640			Utility issue fee (or reissue)	
143	243	460	230			Design issue fee	
144	244	620	310			Plant issue fee	
122	122	130	130			Petitions to the Commissioner	
123	123	50	50			Processing fee under 37 CFR 1.17(q)	
126	126	180	180			Submission of Information Disclosure Stmt	
581	581	40	40			Recording each patent assignment per property (times number of properties)	
146	246	740	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	740	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	740	370			Request for Continued Examination (RCE)	
169	169	900	900			Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

SUBMITTED BY

Name (Print/Type) Theresa A. Lober Registration No. 35,253 Telephone 978-369-2181

Signature [Signature] Date December 10, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

JC832 U.S. PTO
10/015732
12/10/01

UNDER 37 C.F.R. §1.53(b)

<u>Inventor Name</u>	<u>Inventor Address</u>	<u>Inventor Citizenship</u>
Elmer S. Hung	722 Bounty Drive #2218 Foster City, CA 94404 USA	USA
Erik R. Deutsch	143 Albany Street Apt. #213-B Cambridge, MA 02139 USA	USA
Stephen D. Senturia	98 Crowninshield Road Brookline, MA 02446 USA	USA

ELECTROSTATICALLY-CONTROLLABLE DIFFRACTION GRATING

This application claims the benefit of the below-identified non-provisional application:

<u>APPLICATION NUMBER</u>	<u>FILING DATE</u>
09/537,936	March 29, 2000

Date of Deposit: December 10, 2001

Theresa A. Lober

December 10, 2001

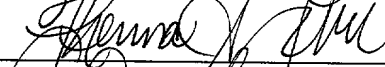
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Hung et al.
Filed: December 10, 2001
For: Electrostatically-Controllable Diffraction Grating

BOX PATENT APPLICATION

THE ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

I hereby certify under 37 CFR 1.10
that this correspondence is being
deposited on the date shown below with the
United States Postal Service in an envelope with
sufficient postage as "Express Mail Post Office to
Addressee" Mailing Label Number ET773036827US,
addressed to: Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231,


December 10, 2001

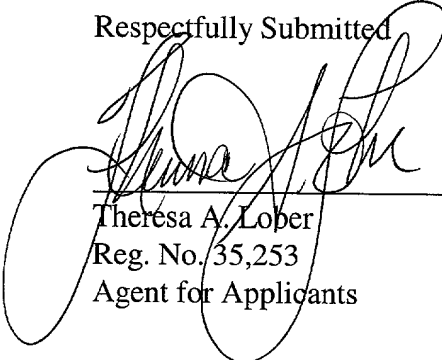
NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)

I hereby certify that the invention disclosed in this new, Non-Provisional
Patent Application **has not been and will not be** the subject of an application
filed in another country, or under a multilateral agreement, that requires
publication at eighteen months after filing.

I hereby request that this Non-Provisional Application not be published
under 35 U.S.C. 122(b).

Date: 
December 10, 2001

Respectfully Submitted


Theresa A. Lober
Reg. No. 35,253
Agent for Applicants

T. A. Lober Patent Services
45 Walden Street
Concord, Massachusetts 01742
Telephone: 978.369.2181 / Facsimile: 978.369.7101